



# ASBOA

ASSOCIATION OF SCHOOL  
BUSINESS OFFICIALS OF ALBERTA

# RECORDS RETENTION PROJECT WORKSHOP RESOURCES

## Records Management Fundamentals Workshop Resources

Records Management Fundamentals Workshops were held at all 4 ASBOA Zones during the spring of 2017. The workshops focused on strategies for implementing the model records schedule. Donna Molloy ([donnamolloy@live.ca](mailto:donnamolloy@live.ca)), a records and information management professional facilitated the workshops. Resources include:

- Workshop Information
- Action Plan Checklist for Implementing the ASBOA Model Retention Schedule
- Slides from the PowerPoint Presentation

### Workshop Information:

*Records Management Fundamentals: Implementing the Model Records Schedule for Improved Recordkeeping*

ASBOA has prepared a model retention schedule for your use. It applies to records in all formats (i.e. paper and electronic). This session will examine:

- What is a records schedule and how do I use it?
- How can I use the schedule to manage my records?
- What are the benefits to my organization of implementing the schedule?
- What are the elements and features of the schedule?
- What does my organization need to do so I can implement the schedule?
- What do I need to do so I can implement the schedule?

**Who Should Attend:** This session will meet the needs of those who will manage the implementation of the model retention schedule, including Secretary-Treasurers and records and information management professionals.

**About our Facilitator:**

Donna Molloy is a records and information management professional who has recently completed retention schedule development for a provincial government ministry. She has extensive experience working with records in both private industry and public sector environments. She has a degree in Library Science and has worked in managing information throughout her career.

### Action Plan Checklist for Implementing ASBOA Model Retention Schedule

- What is already in place to support implementation of records management?
- Do I have Executive Support for this implementation? If not, how do I get it?
- What is my role?
- Who is going to customize the model?
- What needs to be done to customize and what is our best strategy?
- What is the timeline?
- Who will prepare the Project Plan (even if we just use this sheet)
- What are the steps?
- Who do we need to get help from?
- What is my next action step?

# Records Management

Model Retention Schedule for all Alberta School Boards




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## How this came to be

- At various meetings of FOIP School Officials and ASBOA there was a discussion about the benefits of working together
- A team came together to make this happen and to champion this effort to completion
- In April the schedule will be presented at the Conference

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## WHO we are

Darcy Marks	Aspen View (Athabasca)	Records Manager
Fatima Parvez	Calgary Board of Education	(Acting) Supervisor, Corporate Records Management
Gina Fowler*	Edmonton Catholic	Assistant to the CFO
Lea Beeken	Edmonton Public	Supervisor, District Records and FOIP
Reta Morgan*	Foundations for the Future (Calgary)	Secretary-Treasurer
Mike Gramotovich*	Northern Gateway (Whitecourt)	Secretary-Treasurer
Theresa Maggs	Peace River	Administrative Assistant/Communications
JoAnn Vanstone*	Peace Wapiti (Grande Prairie)	Corporate Secretary
Grant Widdup*	Pembina Hills (Barrhead)	Assistant Secretary Treasurer
Margie Miller	Rocky View (Airdrie)	Records Management Coordinator
Denice Monaghan	Wetaskiwin	Records/SIS Manager
Shirley Barton	Wetaskiwin	Executive Assistant

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## Overview

- What is a records schedule and how do I use it?
- How can I use the schedule to manage my records?
- What are the benefits to my organization of implementing the schedule?
- What are the elements and features of the schedule?

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## Agenda

- Introductions
- Overview
- How to Implement
- Customizing for Your Own Needs
- Next Steps/Action Plan

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## What is a record?

- "Records are the evidence of what the organization does"—ARMA  
(<http://www.arma.org/pdf/WhatsRIM.pdf>)
- "record"— means a record of information in any form and includes notes, images, audiovisual recordings, x-rays, books, documents, maps, drawings, photographs, letters, vouchers and papers and any other information that is written, photographed, recorded or stored in any manner, but does not include software or any mechanism that produces records.
  - s. 1(1)) *Electronic Transactions Act*
  - s. 1(q) *Freedom of Information and Protection of Privacy Act*

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### What is a transitory record?

- "non-records" or "things" since we only are required to manage "records" for business & legal purposes

#### Definitions

"a record that has little or no documentary or evidential value and that need not be set aside for future use" (Source: ARMA Glossary of Archival & Records Terminology [16])

OR

- "required only for a limited time to ensure the completion of a routine action or the preparation of a subsequent record." CAN/CGSB-72.34, p. 13.

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### Examples of Transitory Records

- Copies
  - convenience/FYI, extra copies, photocopies
- Duplicates
- Drafts
  - working copies, rough notes, calculations, research, analyses
  - destroy after finished record has been created, documented, approved, received & filed into the regular system
- Notices
- Publications: forms, pamphlets, informational materials
- Advertisements and other items that have no ongoing informational value or "junk mail"
- Unsolicited records

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### What is a retention schedule

- *Records retention schedule*
- Disposition schedule
- Information schedule
- Retention and disposition authority
- Data map or
- Information framework
  
- Name doesn't matter, *use of tool* does

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Why is it so important for you to be here?

The Records Retention Schedule is a tool, always customized by records manager to:

- Comply with law
- Meet organization's mandate
- Meet users' needs

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Why is it important to have a customized schedule?

Mitigate Risks including:

- produce records needed for litigation
- Keep records to protect organization
- Preserve confidential information
- Avoid scenario where the costs of record production exceed claim
- Avoid wasting time, money & stress

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About having a retention schedule

No legal requirement to have records retention schedule, but without one, how do you produce your records as evidence & meet business needs?

What if you have millions of electronic records?

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Why use a schedule?

- Systematic & timely removal of...
- Inactive or obsolete records....
- From active office space to storage...
- Disposition of unneeded record....
- Preservation of required records

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Why use a schedule?

- To identify and protect valuable records to lay ground work for partnership with archives/archivists
- To authorize the legal destruction of records no longer required for legal or business purposes

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Advantages of a Retention Schedule

- Saves time by reducing record volume that must be created, accessed, produced & preserved for legal & business purposes
- Reduces costs by justifying transfer of active records out of offices and inactive records out of storage
- Identifies valuable records for permanent preservation to retain documentary heritage

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### Disadvantages of a Retention Schedule

- Requires time & staff cooperation to create
- Requires maintenance & updating
- Requires executive authorization & oversight

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### Executive Endorsement

- Do you have a policy/ standard/ procedure that enacts a retention schedule or records management program?
- Small group discussion

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### Functional Classification

- Records and information are classified according to the functions and activities they support within the organization.

Function
Administrative Management
Corporate Governance
Community Programs & Services
Educational Programs
Finance and Accounting
Facilities Management
Health and Safety
Human Resources
Information Management
Legal
Public Relations/Communications
Student Information
Research and Planning
Transportation

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Retention periods based on:  
 - legal  
 - best practices  
 - operational needs

Table E: Table of Statutes of Canada and Ontario with Records Retention Requirements for School Boards/Authorities

Alpha Code*	Statute
BCA-O	Building Code Act, 1992, S.O. 1992, c. 23
CPP-C	Canada Pension Plan, R.S.C. 1985, c. C-8
CAI-O	Compulsory Automobile Insurance Act, R.S.O. 1990, c. C.25
CA-C	Copyright Act, R.S.C. 1985, c. C-42
EA-O	Education Act, R.S.O. 1990, c. E.2
ECA-O	Electronic Commerce Act, 2000, S.O. 2000, c. 17
EHTA-O	Employer Health Tax Act, R.S.O. 1990, c. E.11
EIA-C	Employment Insurance Act, S.C. 1996, c. 23
EIA-O	Employment Standards Act, 2008, S.O. 2008, c. 41
ETA-C	Excise Tax Act, R.S.C. 1985, c. E-15
FPPA-O	Fire Protection and Prevention Act, S.O. 1997, c. 4
ITA-C	Income Tax Act, R.S.C. 1985, (50 Supp.) c. 1
ITA-O	Income Tax Act, R.S.O. 1990, c. 1.2

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Using the Model Retention Schedule

- Working as a Group

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Do you have a RM Program

- If the discussion of implementing a retention schedule is not where your organization is focused review the elements of a records management program
- Do you need to do some initial analysis
- Should you get Executive Endorsement and start a project
- What are some quick wins to get you on the right path
  - Identify some resources, find a Champion, identify risks, etc.

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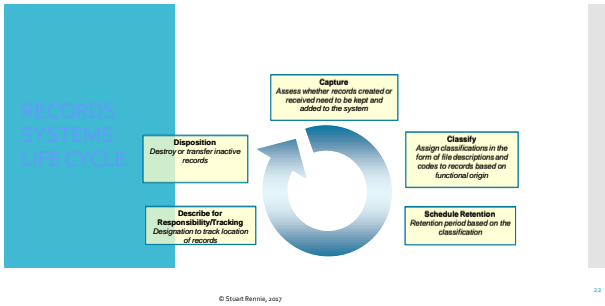
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- Options for Customizing**
- Survey Users
  - Needs Assessment
  - Presentations and Feedback
  - Key people or a larger group
  - Black Ops
  - On your own
  - Enhance an Existing One
  - Other????

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- Examples of Additional Useful Columns for Managing Records**
- Custodian
  - Case Files
  - Classification Codes
  - Location
  - Vital Records
  - Access Permissions
  - Explanatory Notes
  - Personal Information Banks

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### Your Own Action Steps

- Refer to the Handout
- What do you need to do
- Who do you need to help you
- What will be the next steps
- What is your Project Plan

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### Retention Periods



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### Implementing Disposition

- Once life cycle of record for retention has ended, organization needs to decide disposition:
  - Permanent retention or
  - Destruction

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### Process for Disposition

- Records destruction must be controlled & authorized
- Suspension of destruction in event of investigation, privacy request, audit or litigation
- Records destruction should be undertaken in a manner that preserves the confidentiality of records, including the privacy of information about individuals
- All copies of records that are authorized for destruction, including security, preservation and backup copies, should be destroyed at once
- Certificate of destruction should be retained permanently
  - Records series title
  - Date range
  - Date of destruction

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### Evaluation Plan

- As you embark share your lessons learned back to your primary contact so that others will benefit

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### Workshop Feedback

- What content changes can we do to make this better for the next round?

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